

DEPARTMENT OF ENERGY

RECORDS SCHEDULE 20 ELECTRONIC RECORDS

03-30-98

This schedule authorizes the disposition of specified electronic records and hard-copy or microform records and are integrally related to them. The electronic records may either be created or received. Included are records created by computer operators, programmers, analysts, systems administrators, and all personnel with access to a computer. Disposition authority is provided for certain master files, including some tables that are components of data base management systems, and certain files created from master files for specific purposes. In addition, this schedule covers certain disposable electronic records produced by end users in office automation applications. These disposition authorities apply to the categories of electronic records described in this schedule regardless of the type of computer used to create or store the records.

Electronic records not covered by this schedule may not be destroyed until authorization is obtained. The records covered by several items in this schedule are authorized for erasure or deletion when the record custodian determines that they are no longer needed. It is not feasible to establish a more specific retention to be appropriate in all applications. Each system owner should, when appropriate, determine a more specific disposition instruction, such as "Delete after X update cycles" or "Delete when X years old." Additional approval is not required to set retention periods for records in this schedule authorized for destruction, "when no longer needed."

Item 2a and 1a (in part) apply to hard-copy or microform records used in conjunction with electronic files. Item 1 also covers printouts produced to test, use, and maintain master files. Item 10 and 11 should be applied to special purpose programs and documentation for disposable electronic records whatever the medium in which such documentation and programs exist.

Electronic versions of records in hard copy form, authorized for disposal elsewhere in ADM schedules, may be deleted under the provisions of item 3 of this schedule. See also 36 CFR part 1234 for NARA regulations on electronic records management.

1. Files/Records Relating to the Creation, Use, and Maintenance of Computer Systems, Applications, or Electronic Records: (GRS20, item 1)

- a. Electronic files or records created solely to test system performance, as well as hard-copy printouts and related documentation for the electronic files/records.

Delete/destroy when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transaction files, and intermediate input/output records. Delete after information has been transferred to the master file and verified.
- c. Electronic files and hard-copy printouts created to monitor system usage, including, but not limited to, log-in files, password files, audit train files, system usage files, and cost-back files used to assess charges for system use.

Delete/destroy when the record custodian determines they are no longer needed for administrative, legal, audit, or other operational purposes.

2. Input/Source Records. (GRS 20, item 2)

- a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signature) and not previously scheduled for permanent retention in a Departmental records schedule.

Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the back-up to, the master file, whichever is later.

- b. Electronic records, except as noted in item 2c, entered into the system during an update process, and not required for audit and legal purposes.

Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

- c. Electronic records received from another agency and used as input/source records by the Department, EXCLUDING RECORDS produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the Department.

Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back-up to, the master file or data base, whichever is later.

- d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and

development programs and used as input for a digital master file or data base.

Delete after the necessary data have been incorporated into a master file.

3. Electronic Versions of Records Scheduled for Disposal. (GRS 20, item 3)

- a. Electronic versions of records that are scheduled for disposal under one or more items in ADM schedules 1-16, 18, 22, or 23; EXCLUDING those that replace or duplicate the following ADM schedules and items therein: ADM Schedule 1, items 21, 11, 25f; ADM Schedule 12, item 3; and ADM Schedule 18, item 5.

Delete after the expiration of the retention period authorized by ADM schedules, or when no longer needed, whichever is later.

- b. Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized for destruction in a Departmental records schedule.

- (1) When hard copy records are retained to meet recordkeeping requirements.

Delete electronic version when the record custodian determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

- (2) When the electronic record replaces hard copy records that support administrative housekeeping functions.

Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later.

- (3) Hard copy printouts created for short-term administrative purposes.

Destroy when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

4. Data Files Consisting of Summarized Information. (GRS 20, item 4)

Records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base that is disposable under the ADM schedule item or is authorized for deletion by a disposition authorization approved after January 1, 1988, EXCLUDING data files that are created as disclosure-free files to allow public access to the data which may not be destroyed without approval.

Delete when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTE: Data files consisting of summarized information which were created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed, may not be destroyed without approval.]

5. Records Consisting of Extracted Information. (GRS 20, time 5)

Electronic files consisting solely of records extracted from a single master file or data base that is disposable under this schedule or approved for deletion by an approved disposition schedule, EXCLUDING extracts that are: a) produced as disclosure-free files to allow public access to the data; or b) produced by an extraction process which changes the informational content of the source master file or data base; which may not be destroyed without approval. For print and technical reformat files, see items 6 and 7 of this schedule, respectively.

Delete when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

[NOTES: (1) Records consisting of extracted information that was created from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists or can no longer be accessed may not be destroyed without approval. (2) See item 12 of this schedule for other extracted data.]

6. Print File: (GRS 20, item 6)

Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and statistical reports.

Delete when the record custodian determines that it is no longer needed for administrative, legal, audit, or other operational purposes.

7. Technical Reformat File: (GRS 20, item 7)

Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchanged and written with varying technical specifications, EXCLUDING files created for transfer to the National Archives.

Delete when the record custodian determines that it no longer needed for administrative, legal, audit, or other operational purposes.

8. Back-ups of Files: (GRS 20, item 8)

Electronic copy, considered by the record custodian to be a Federal record, of the master copy of an electronic record or file and retained in case the master file or data base is damaged or inadvertently erased.

- a. File identical to records scheduled for transfer to the National Archives.

Delete when the identical records have been captured in a subsequent back-up file or when the identical records have been transferred to the National Archives and successfully copied.

- b. File identical to records authorized for disposal in a NARA-approved records schedule.

Delete when the identical records have been deleted, or when replaced by a subsequent back-up file.

9. Finding Aids (or Indexes): (GRS 20, item 9)

Electronic indexes, lists, registers, and other findings aids used only to provide access to records authorized for destruction by this schedule or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records.

Delete when related records or when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposed, whichever is later.

10. Special Purpose Programs: (GRS 20, item 10)

Application software necessary solely to use or maintain a master file or data base authorized for disposal in this schedule item or a NARA-approved records schedule, EXCLUDING special purpose software necessary to use or maintain any unscheduled master file or data base or any master file or data base scheduled for transfer to the National Archives.

Delete when related master file or data base has been deleted.

10.1 Software Development: (NI-434-98-22)

Records pertaining to the development of software, including data processing requests, project description, policy statements, project constraints and exclusions. Records may

also include estimates, approval signatures, analyses, test results and verifications, code development and maintenance, systems documentation, meeting minutes, requests for modifications and related correspondence and working papers.

- a. Systems developed in support or program-related activities which maintain and reproduce record information.

Destroy after the expiration of the retention period authorized for related disposable records (i.e., in accordance with this schedule or other DOE schedules) or when related system is removed from service.

- b. All other disposable systems.

Retain until software or system is removed from service.

11. Documentation: (GRS 20, item 11)

- a. Data systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for destruction by this schedule or other NARA-approved disposition schedule.

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

- b. Copies of records relating to system security, including records documenting periodic audits or review and recertification of sensitive applications, disaster and continuity plans, and risk analysis, as described in OMB Circular No. A-130.

Destroy or delete when superseded or obsolete.

[NOTES: (1) Documentation that relates to permanent or unscheduled master files and data bases is not authorized for destruction by this schedule. (2) See item 1a of this schedule for documentation relating to system testing.]

12. Downloaded and Copied Data: (GRS 20, item 12)

Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the Department, when the original data is retained.

- a. Derived data used for ad hoc or one-time inspection, analysis or review, if the derived data is not needed to support the results of the inspection, analysis or

review.

Delete when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- b. Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.

Delete when the record custodian determines that they are no longer needed for administrative, legal, audit, or other operational purposes.

- c. Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.

Delete from the receiving system or device when no longer needed for processing.

[NOTE: See item 5 of this schedule for other extracted data.]

13. Word processing Files: (GRS 20, item 13)

Documents such as letters, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the work processing system when no longer needed for updating or revision.

14. Electronic Mail Records: (GRS 20, item 14)

Senders' and recipients' version of electronic mail messages that meet the definition of Federal records, and any attachments to the record messages after they have been copied to an electronic recordkeeping system, paper, or microform for recordkeeping purposes.

Delete from the e-mail system after copying to a recordkeeping system.

[NOTE: Along with the message text, the recordkeeping system must capture the names of sender and recipients and date (transmission data for recordkeeping purposes) and any receipt data when required.]

15. Electronic Spreadsheets: (GRS 20, item 15)

Electronic spreadsheets generated to support administrative functions or generated by an individual as background materials or feeder reports.

- a. When used to produce hard copy that is maintained in organized files.

Delete when no longer needed to update or produce hard copy.

- b. When maintained only in electronic form.

Delete after the expiration of the retention period authorized for the hard copy by this schedule or an approved SF 115. If the electronic version replaces hard copy records with differing retention periods and the software does not readily permit selective deletion, delete after the longest retention period has expired.